

Workstream:

Leadership Planning

## **NCDOT SHOULD DEVELOP A SYSTEM FOR LEADERSHIP AND SUCCESSION PLANNING**

### **Overview:**

- No formal process for mobility or succession planning to help drive a Talent Management Strategy
- Employees have no incentive to move or change roles in organization to facilitate career development
- Limited mobility is primarily salary driven
- An effective mobility and succession strategy would cover current and projected needs

### **Rationale:**

- Deployment and rotation of employees would not just be to fill positions, but to fill the pipeline
- Challenging roles would help drive employee development
- Senior leadership would be involved in the iterative process of career planning for “top talent”
- X, X, and X organizations all have mobility and succession planning models that have been proven successes for long term talent management and for employee performance, satisfaction, and retention.

### **Program details:**

- Critical leadership positions identified in the department
- High performers and high potentials identified
- Formal processes to identify skills necessary for success in key positions. High potentials undertake training in these areas
- OJT with program “pairing” senior manager with high potential
- The program will be run by HR

### **Benefits:**

- Clear direction for employee career path that can aid in development
- High Performers in key leadership roles across department
- Training more relevant and strategic
- Elimination of “silos”
- Development of “bench strength”
- Organization strengthened by broadened skill set of leaders

### **Potential challenges (and mitigations):**

- Current vacancy posting process
- Current organizational culture appears to be averse to forced mobility
- Policies on relocation assistance
- Perceived issue of fairness

## Work Experience Checklist

When asked to identify the important factors that contributed to their current success, leaders almost always identify a series of experiences – challenges they had to handle, opportunities they seized, and a variety of other events that forced them out of the day-to-day routines of the positions they occupied at the time. An important element of leadership development is the accumulation of experiences relevant to the leadership roles at NCDOT and the ability to learn from these experiences and to grow as a result of facing the challenges.

Please check the experiences on the following list that you have faced so far in your career.

### Experiences that result from dealing with various business challenges:

- ☐ 1. Developed and implemented a plan to cut costs or reduce scope.
- ☐ 2. Implemented a process/system change.
- ☐ 3. Planned and implemented a change involving more than one business unit.
- ☐ 4. Reorganized a unit to improve efficiency (including “right-sizing”).
- ☐ 5. Trained other employees in how to identify and implement process or system changes.
- ☐ 6. Improved the performance of an underachieving unit.
- ☐ 7. Effectively handled conflict.
- ☐ 8. Turned around an employee conduct or behavior problem.
- ☐ 9. Created a unit to address a new or modified organizational function.
- ☐ 10. Starting a function or key process from scratch.

### Experiences in different roles, functions, and divisions that help develop a broader business perspective:

- ☐ 11. Built a new management team.
- ☐ 12. Led a large complex project outside of my area of expertise.
- ☐ 13. Wrote or developed a strategic plan. Reported and tracked results.
- ☐ 14. Developed and implemented an action plan.
- ☐ 15. Successfully built and articulated a business case for change.
- ☐ 16. Participated on a team, task force or initiative that resulted in Department-wide changes.
- ☐ 17. Initiated an effort to improve employee morale in a business unit.
- ☐ 18. Managed multiple business functions and product lines.
- ☐ 19. Survived “trial by fire” – was put into a rapidly changing environment with high visibility, short timetables, and critical outcomes.
- ☐ 20. Developed policies and procedures outside of my work group.

### Other experiences that highlight personal growth

- ☐ 21. Made a formal presentation to a high-level group.

- ☐ 22. Built consensus amongst a group with competing views through appropriate use of persuasion and influence.
- ☐ 23. Served as an effective mentor or coach.
- ☐ 24. Communicated a vision for a business unit and motivated staff to develop, implement, and evaluate new vision.
- ☐ 25. Handled significant leaps in scope (flexibility, energy, and maturity to change work style to meet new demands).
- ☐ 26. Conducted risk management analysis and develop mitigation strategies and response plans.
- ☐ 27. Participation on national committee/subcommittees (AASHTO, ITE, etc).
- ☐ 28. Exposure to innovative and/or different ways of doing business.
- ☐ 29. Received training/certification through programs such as the Public Managers Program, Leadership Council Training, projects such as the TMT, etc.

	Leadership Thermometer									
	Employee Name	Interest and Ambition	Willing to Relocate	Leadership Competencies			Performance	Experience	Summary	Comments
				Self-management	Collaboration / Partnering	Problem Solving Decision Making				
	Joe Engineer	Interested	Statewide	Does well	Role model	Does well	Exceeds	Highly Experienced	Highly Effective	
	John Manager	Interested	Limited	Needs work	Needs work	Needs work	Does not meet	Inexperienced	Less than Effective	
	Martha Manager	Not interested	No	Role model	Does well	Does well	Meets	Moderately Experienced	Effective	
	Note: Only three competencies included for illustrative purposes									

Leadership Barometer														
Leadership Competencies														
Employee Name	Classification	Org Unit	Self-Mgmt	Leading People	Results Focus	Strategic Focus	Managing Change	People Management	Financial Management	Collaboration / Partnering	Problem Solving Decision Making	Performance	Work Experience	Summary
Joe Engineer			Does well							Role model	Does well	Exceeds	Exceeds	Highly effective
John Manager			Needs work							Needs work	Needs work	Does not meet	Exceeds	Not effective
Martha Manager			Role model							Does well	Does well	Meets	Meets	Effective

## Leadership Profile

### Section A: Identifying and General Information (to be completed by the employee)

Name \_\_\_\_\_ Classification \_\_\_\_\_  
Working Title \_\_\_\_\_ Work Unit \_\_\_\_\_  
Position Number \_\_\_\_\_ Retirement Eligibility Date \_\_\_\_\_  
Years in Position \_\_\_\_\_

### Section B: Background, Plans, and Interests (to be completed by the employee and supervisor)

1. **Background:** Summarize organizational areas and types of positions held both within and outside of DOT

2. **Interest and Ambition:** Consider future plans with DOT

- ☐ Interested in advancement  
☐ Not interested in advancement

**Comments:**

3. **Willingness to Relocate:** Indicate limitations on counties or business units

- ☐ Statewide – no limits on relocation  
☐ Limited – Not interested in some counties or business locations  
☐ No – Not interested in relocation

**Comments:**

4. **Retirement Plans:** Describe current retirement plans being as specific as possible

### Section C: Competency, Performance and Experience: to be completed by the supervisor

1. **Leadership Competencies:** Use information from Section C of the NCDOT Performance Dashboard and Appraisal

Competency	Rating from PDA	Comments
Self-management		
Leading People		
Results Focus		
Strategic Focus		
Managing Change		
People Management		
Financial Management		
Collaboration / Partnering		
Problem Solving, Dec. Making		

2. **Performance:** Use information from Sections A and D of the NCDOT Performance Dashboard and Appraisal

- ☐ Exceeds – Has exceeded expectations or performed above the good level in each of the last three years
- ☐ Meets – Has met expectations or performed at the good level in each of the last three years
- ☐ Does not meet – Has received at least one rating below the meets expectations or below good within the last three years

**Comments:**

**3. Experience:** Use information from the Work Experience Checklist

- ☐ Highly Experienced – Has 75% or more of the required experiences
- ☐ Experienced – Has from 50% and 74% of the required experiences
- ☐ Moderately Experienced – Has from 25% and 49% of the required experiences
- ☐ Inexperienced – Has below 25% of the required experiences

**Comments:**

**Section D: Developmental Needs:** To be completed by the applicant pool employee's supervisor considering information from the NCDOT Performance Dashboard and Appraisal.

**Section E: Summary Rating**

- ☐ Highly Effective – Majority of competency and performance ratings at the highest level (Role Model or Exceeds)
- ☐ Effective – All competency and performance ratings at least at the mid-level ( Does Well or Meets)
- ☐ Less Than Effective – At least one competency or performance rating at the lowest level (Needs Work or Does Not Meet)

**Comments:**



## Key Position Risk Analysis Instructions and Rating Scales

1. **Position Group:** Positions with similar competency requirements that would have the same applicant pool (ex. Division Engineers)
2. **Risk of Departure:** Consider retirement eligibility and other risks of departure
  - Imminent – Could leave at any time
  - Within two years – A strong likelihood that the employee will leave within the next two years
  - Beyond two years – Little likelihood that the employee will leave within the next two years
3. **Sufficiency of Applicant Pool**
  - Sufficient - Number of candidates ready now exceeds the number of available openings for the next two years
  - Moderately Sufficient - Number of candidates ready now is equal to the number of available openings for the next two years
  - Insufficient - Number of candidates ready now is less than the number of available openings for the next two years
4. **Risk Summary**

	<b>Insufficient Applicant Pool</b>	<b>Moderately Sufficient Applicant Pool</b>	<b>Sufficient Applicant Pool</b>
<b>Risk of Departure After Two Years</b>	Yellow	Green	Green
<b>Risk of Departure within two years</b>	Red	Yellow	Green
<b>Risk of Imminent Departure</b>	Red	Red	Green

## Emerging Talent Profile

### Section A: Identifying Information (to be completed by the applicant pool employee)

Name \_\_\_\_\_ Classification \_\_\_\_\_  
Working Title \_\_\_\_\_ Work Unit \_\_\_\_\_  
Years in Position \_\_\_\_\_

### Section B: Background, Plans, and Interests: to be completed by the supervisor and applicant pool employee

1. **Background:** Summarize organizational areas and types of positions held both within and outside of DOT

2. **Interest and Ambition:** Consider future plans with DOT

- ☐ Interested in advancement  
☐ Not interested in advancement

**Comments:**

3. **Willingness to Relocate:** Indicate limitations on counties or business units

- ☐ Statewide – no limits on relocation  
☐ Limited – Not interested in some counties or business locations  
☐ No – Not interested in relocation

**Comments:**

### Section C: Competency, Performance, Experience, and Leadership Potential: to be completed by the applicant pool employee's supervisor

1. **Competency:** Use information from Section C of the NCDOT Performance Dashboard and Appraisal

- ☐ Role model on majority of competencies and Does well on others  
☐ Does well on all competencies  
☐ Needs work on one or more competencies

**Comments:**

2. **Performance:** Use information from Sections A and D of the NCDOT Performance Dashboard and Appraisal

- ☐ Exceeds – Has exceeded expectations or performed above the good level in each of the last three years  
☐ Meets – Has met expectations or performed at the good level in each of the last three years  
☐ Does not meet – Has received at least one rating below the meets expectations or below good within the last three years

**Comments:**

3. **Experience:** Use information from the Work Experience Checklist

- ☐ Highly Experienced – Has 75% or more of the required experiences  
☐ Experienced – Has from 50% and 74% of the required experiences

- ☐ Moderately Experienced – Has from 25% and 49% of the required experiences
- ☐ Inexperienced – Has below 25% of the required experiences

**Comments:**

**4. Leadership Potential:** Use information from the Leadership Potential Diagnostic

- ☐ High – Scored 50 or above
- ☐ Medium – Scored 40 to 49
- ☐ Low – Scored below 40 or below

**Comments:**

**Section D: Development Needs and Activities:** To be completed by the applicant pool employee's supervisor considering information from the NCDOT Performance Dashboard and Appraisal

**Section E: Readiness Status:** To be completed by the applicant pool employee's supervisor. An employee is ready for advancement if they have achieved the highest level competency, performance, experience, and leadership potential ratings; are interested in advancement; and their willingness to relocate is not a barrier. For employees who are not Ready now, estimate the time it will take for them to complete the development activities (work experiences, classes, performance improvements, etc.) necessary.

- ☐ Ready now
- ☐ Ready within one year
- ☐ Ready in one to five years
- ☐ Not a candidate

**Comments:**

## Cover email

To: [Validation study participants]

From: Anthony Roper

Subject: Validation of Questionnaire for Diagnosing Leadership Potential

Our work in the Leadership Planning work stream of NCDOT's transformation initiative is concerned with how to identify and develop future leaders. One of the tools we are working on is a questionnaire that employees can complete to help them determine if they have the interest level and temperament required in leadership roles. The questionnaire can be used by employees to develop self-insight, as an element in a career discussion with their supervisor, and possibly as input into the leadership planning process that our work stream is currently designing.

Because the questionnaire may be used in ways that affect important career decisions, it is necessary to validate it. We are asking you to help us out with this validation research. **Attached is a draft of the questionnaire, which we would appreciate your completing and returning to us.** Your responses, and responses from many others participating in this study, will be used to revise the questionnaire so that it will give as true a reading as possible regarding a person's potential for taking on a leadership role.

Your returned questionnaire will be used only for research purposes. Please do not put your name on it; your input is anonymous.

You will note in the instructions that we are asking you to **complete the questionnaire as you would have completed it early in your career.** Try to put yourself back into your mindset of 20 years ago. I think you will find it kind of fun to complete and it shouldn't take more than 15 minutes or so.

**Please return your completed questionnaire to Lynn Summers no later than XXXX.** Lynn is an industrial psychologist at OSP who has been working with us on our work stream and is conducting the validation study for us.

You may fill out the questionnaire electronically, save it, and then attach it to an email to [lynn.summers@osp.nc.gov](mailto:lynn.summers@osp.nc.gov). Or you may print the questionnaire, fill it out, and mail it to Lynn Summers, Performance Solutions Group, North Carolina Office of State Personnel, 116 W. Jones Street, Raleigh, NC 27699-1331.

Thank you for contributing.

### Leadership Potential Diagnostic (rev 2.1)

Instructions: On each row of the following table, select the one choice out of the three that would have best described you **early in your career**. Remember, select only **one** of the three choices on each row.

1.	<input type="checkbox"/> I eagerly attack problems, sometimes even searching them out.	<input type="checkbox"/> I deal with problems when necessary.	<input type="checkbox"/> I avoid confronting problems whenever possible.
2.	<input type="checkbox"/> I take a systematic approach to try to uncover the root cause of a problem.	<input type="checkbox"/> I try to get beyond symptoms but don't follow any logical process for identifying root cause.	<input type="checkbox"/> I handle problems by dealing with the symptoms and getting on with business.
3.	<input type="checkbox"/> I am quite good at resolving many different types of complex problems.	<input type="checkbox"/> I can handle complex problems, but often struggle and take a little longer than most people to come up with solutions.	<input type="checkbox"/> I am quite good at handling routine problems effectively but have difficulty when dealing with complex issues.
4.	<input type="checkbox"/> I like to get others who are familiar with the problem situation involved so that we can energetically attack the problem.	<input type="checkbox"/> I involve others in problem solving when it's necessary.	<input type="checkbox"/> I prefer to take on problems alone, without getting others involved.
5.	<input type="checkbox"/> I quickly figure out how to handle new or ambiguous situations.	<input type="checkbox"/> I take a little time to get my arms around unfamiliar or ambiguous situations.	<input type="checkbox"/> I handle familiar and highly structured situations well, but I struggle with situations that are not well defined.
6.	<input type="checkbox"/> I absorb new information quickly and effortlessly.	<input type="checkbox"/> I can pick up new information with a little extra effort.	<input type="checkbox"/> I have difficulty learning and retaining new information.
7.	<input type="checkbox"/> I enjoy engaging in lively debate.	<input type="checkbox"/> I will offer my input when issues are being debated, but usually don't get too involved in such discussions.	<input type="checkbox"/> I prefer to listen as others sort out the issues.

8.	<input type="checkbox"/> I frequently ask questions to clarify and probe.	<input type="checkbox"/> I listen, think about what the person has said, and later return to ask follow-up questions.	<input type="checkbox"/> I listen intently without asking questions.
9.	<input type="checkbox"/> I relentlessly probe and experiment with a new procedure or piece of equipment to develop a clear understanding.	<input type="checkbox"/> I tinker with a new procedure or piece of equipment to try to understand how it works.	<input type="checkbox"/> I accept a new procedure or piece of equipment as it is and figure I will learn more about it when I am required to use it.
10.	<input type="checkbox"/> I take charge and help guide the group toward completion of its assignment.	<input type="checkbox"/> I am a solid contributor of ideas and information.	<input type="checkbox"/> I generally remain quiet and let others make contributions.
11.	<input type="checkbox"/> I am actively and frequently sought out by others.	<input type="checkbox"/> I am listened to and respected by others.	<input type="checkbox"/> I am usually "in the background" and not noticed by others.
12.	<input type="checkbox"/> I independently try out a new way of doing something on occasion.	<input type="checkbox"/> I sometimes suggest ways to improve a process or solve a problem in an unusual way.	<input type="checkbox"/> I am cautious and wary of deviating from the status quo.
13.	<input type="checkbox"/> I leap at the opportunity to take on a challenge.	<input type="checkbox"/> I dutifully take on challenges when assigned.	<input type="checkbox"/> I shy away from taking on challenging assignments.
14.	<input type="checkbox"/> I thrive on being held accountable for achieving challenging goals.	<input type="checkbox"/> I accept goals as long as the bar is set at a level I know I can achieve without difficulty.	<input type="checkbox"/> I try to avoid being held to achieving specific goals whenever possible.
15.	<input type="checkbox"/> I eagerly seek out and absorb feedback, especially criticism.	<input type="checkbox"/> I accept criticism when it is given, though I don't actively seek it.	<input type="checkbox"/> I do not receive criticism gracefully.
16.	<input type="checkbox"/> I regularly reflect on my experiences and modify my routine behavior based on lessons learned.	<input type="checkbox"/> I adjust my routine actions when experience renders them no longer workable.	<input type="checkbox"/> I prefer my routine and am reluctant to deviate from it.
17.	<input type="checkbox"/> I relish putting my strengths to good use and work out ways to compensate for my weaknesses.	<input type="checkbox"/> I know my own strengths and weaknesses and act accordingly.	<input type="checkbox"/> I'm a very practical person and am not inclined to self-examination.

18.	<input type="checkbox"/> When the status quo is disturbed, I seize the opportunity to try something new.	<input type="checkbox"/> I make the appropriate adjustments, uncomfortable as they may be.	<input type="checkbox"/> When the status quo is disturbed, I have difficulty making the necessary adjustments.
19.	<input type="checkbox"/> I like to “keep score” and seek ways to measure my own performance against challenging goals.	<input type="checkbox"/> I accept measures of my performance, as long as they are fair.	<input type="checkbox"/> I can’t imagine how my performance can really be measured.
20.	<input type="checkbox"/> I enjoy and am good at involving others in getting a project done.	<input type="checkbox"/> I can get others involved in completing a project and am fairly good at giving direction.	<input type="checkbox"/> I am uncomfortable asking or telling others what to do.

Please answer these additional questions. These questions will not be a part of the final questionnaire, however your response will be important in completing the validation research.

21. Since early in your career, how much have you changed, as a person? (Check one.)

- ☐ Significantly – I’m practically a different person today compared to who I was early in my career.
- ☐ Considerably – I’m quite a bit different today than back then.
- ☐ Somewhat – I’ve changed a little, but I’m still basically the same person.
- ☐ Not much – There’s not much difference between “me” today and “me” back then.
- ☐ Not at all – I haven’t changed a bit.

22. How would you rate your performance in your job today, in comparison with others in your profession who have similar responsibilities? (Check one.)

- ☐ Top 10%
- ☐ Top 25%
- ☐ Top 50%
- ☐ Top 75%
- ☐ Bottom 25%

23. How satisfied are you in your current job? (Check one.)

- ☐ Very satisfied
- ☐ Somewhat satisfied
- ☐ Neither satisfied nor dissatisfied
- ☐ Somewhat dissatisfied
- ☐ Very dissatisfied

24. How satisfied are you with how your career has progressed? (Check one.)

- ☐ Very satisfied
- ☐ Somewhat satisfied
- ☐ Neither satisfied nor dissatisfied
- ☐ Somewhat dissatisfied

☐ Very dissatisfied

25. What were the 2-3 most important factors, experiences, or learnings that have contributed to your career taking the course it has taken?

Thank you for participating in this validation study. Please return your completed questionnaire electronically to [lynn.summers@osp.nc.gov](mailto:lynn.summers@osp.nc.gov) or in hardcopy format to Lynn Summers, Performance Solutions Group, North Carolina Office of State Personnel, 116 W. Jones Street, Raleigh, NC 27699-1331



**Name:** Sample

**Title:**

**Organizational Unit**

Work History:

6-2000: New Hire - Engineering Trainee/Associate

6/2000 to 9/2000 TEA Assignment as .....

9/2000 to 6/2001 TEA Assignment as .....

6/2001 to 6/2002 TEA Assignment as .....

6/2002 to 9/2004 Permanent Assignment as .....

9/2004 to Present Traffic Engineering Unit as .....

Recent Accomplishments:

- Initiated and led the development of the unit's policy on .....
- Led the implementation of the unit's action plan.
- 

Future Activities:

- Develop a Business Plan based on the new strategic plan.
- Complete a rotational assignment in Central Office.
- 

Career Goals:

- Continue my leadership development and eventually become a Unit Head.
- To become more involved in corporate/Department-wide activities, especially in the human resources area..

Training Needs (Optional)

# LEADERSHIP PLANNING

# Leadership Planning

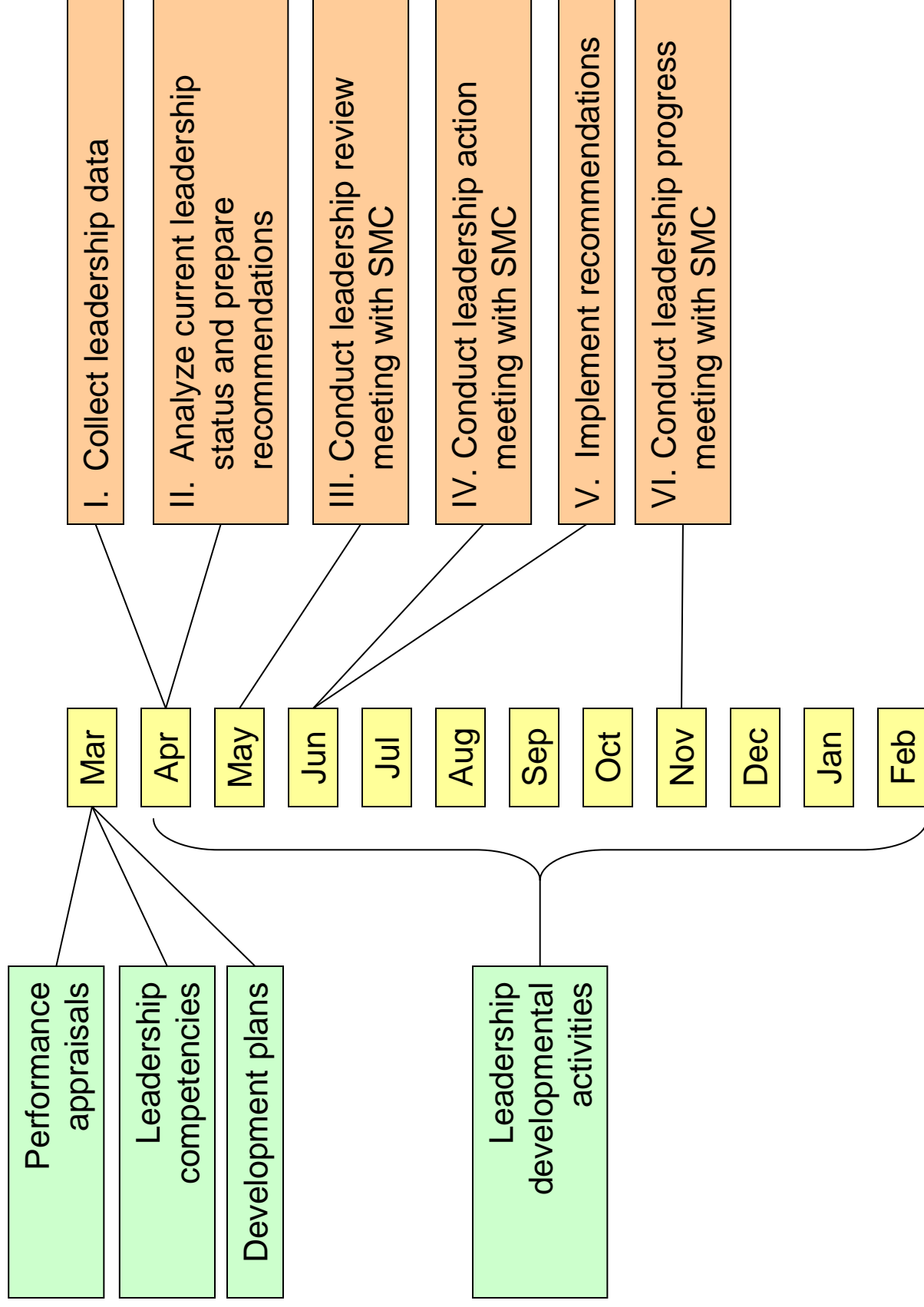
## Objectives

- Identification of pivotal roles that drive achievement of mission and goals → top 42 (to be refined over next 2-3 years)
- System that ensures pivotal roles are filled by individuals who meet requirements of those roles and that there is a well developed backup to fill pivotal positions as vacancies occur

## Key functions / features of leadership planning

- Management involvement – Conduct planning sessions involving Strategic Management Team to ensure pivotal roles are being / can be filled.
- Active development – Move, assign, promote people to break down silos, and gain necessary experience. Deploy strategic resources to build required skills and to achieve strategic impact.
- Policy considerations – Adhere to State policy on selection and promotion.
- Program accountability – Measure long-term impact on metrics.

# Leadership Planning Process

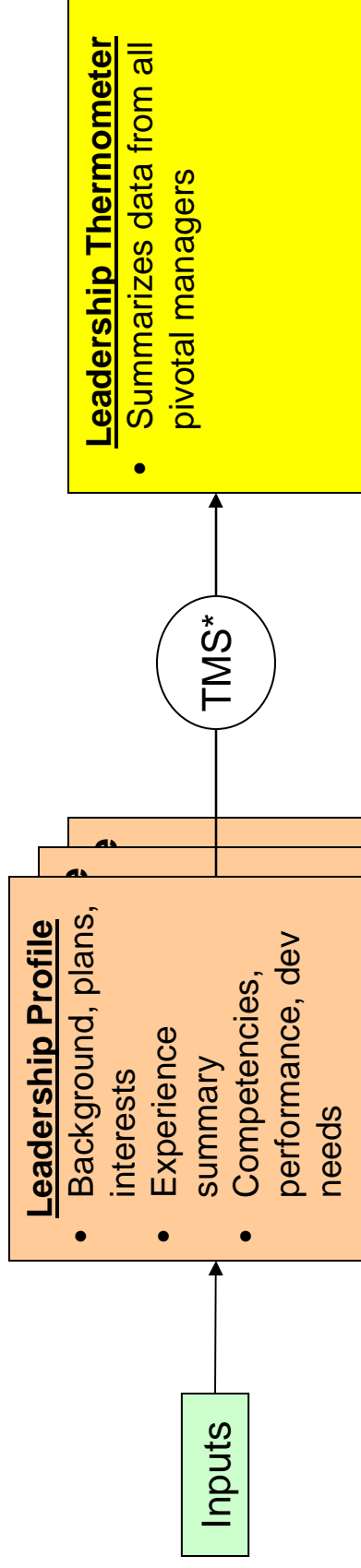


## Strategic Management Committee:

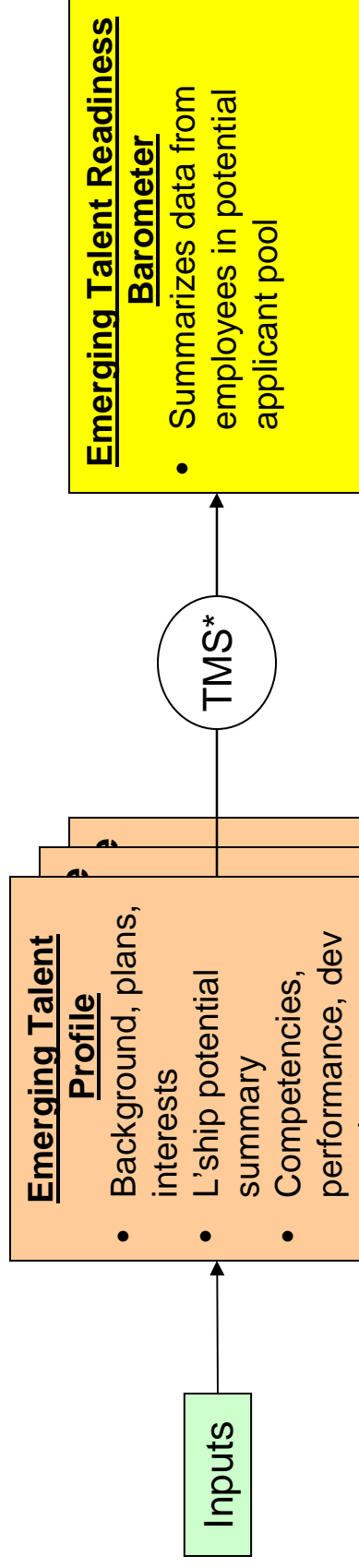
- Secretary
- Chief Deputy Secretary (Chief Operating Officer)
- Deputy Secretary for Transit
- Deputy Secretary for Intergovernmental Affairs & Budget Coordination
- Deputy Secretary for Administration & Business Development
- State Highway Administrator
- Chief Financial Officer
- Department of Motor Vehicle Commissioner

# Data Collection

Data about managers currently in pivotal positions



Data about employees in prospective applicant pool



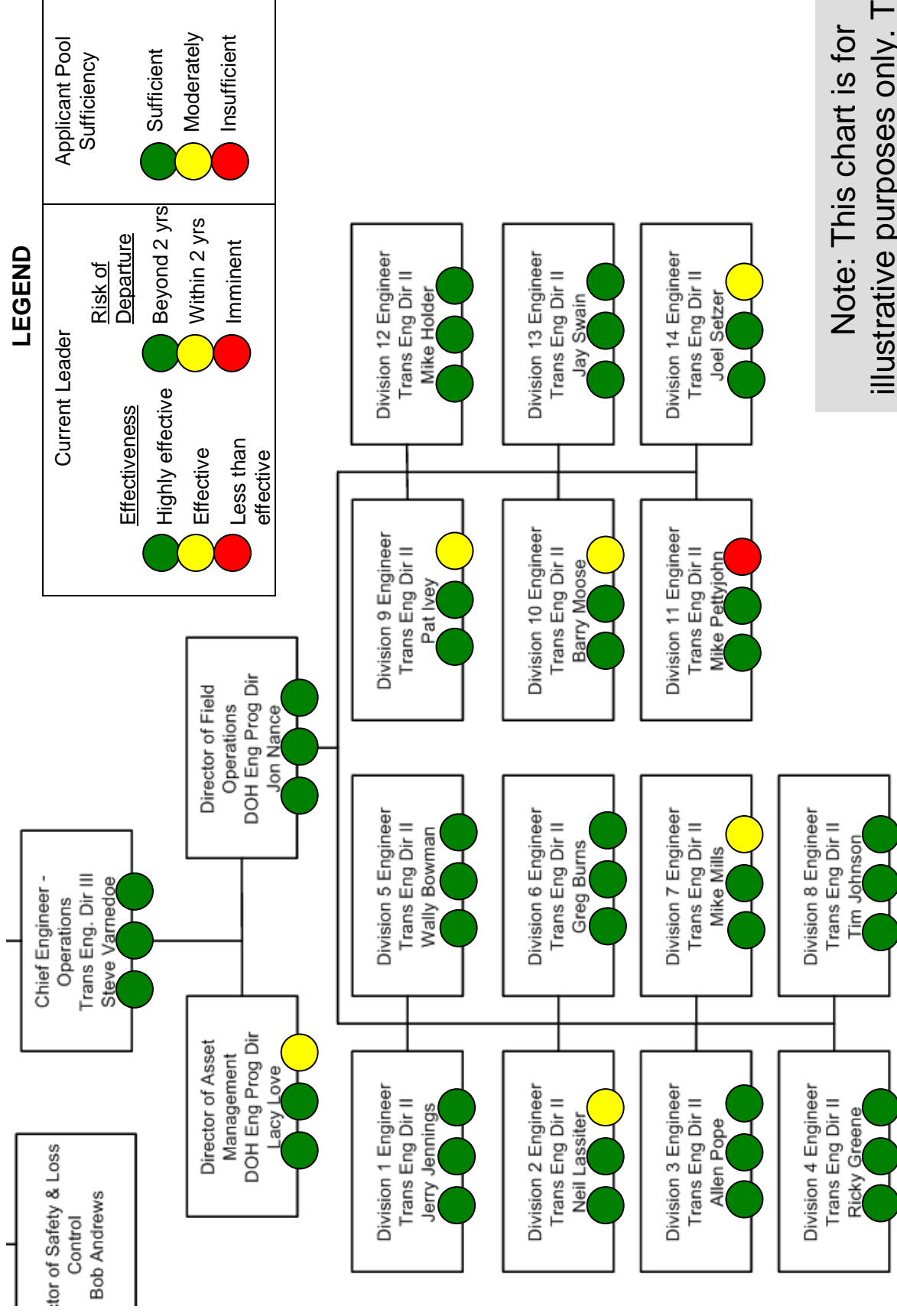
\* TMS: Talent Management Strategist

# Data Analysis

## Talent Management Strategist:

- Scans internal, external environments for **changes and trends** that will affect leadership requirements
- Analyzes **risk** of losing talent in pivotal positions and not having ready backups
  - Develops readiness plans for high-risk positions (accelerated recruitment, temporary replacement, restructuring, etc.)
- Determines competency and experience **gaps** between leadership requirements and:
  - Current pivotal managers
  - Employees in prospective applicant pool
- Identifies **strategies** to address trends, risks, and gaps
- Prepares for Review session with SMC
- Reviews sensitive issues with Secretary

# Analytical Summary



Note: This chart is for illustrative purposes only. The assessments are fictitious.



# SMC Review Meeting

In review meeting, Strategic Management Committee:

- Reviews progress from last cycle (beginning in 2009)
- Discusses issues identified in environmental scan
- Using analytical summary (org chart view):
  - Reviews current status of pivotal managers (Leadership Barometer)
  - Reviews current status of employees in prospective applicant pool (Emerging Talent Readiness Evaluation)
- Discusses outstanding issues and action recommendations

# SMC Action Meeting

In action meeting (a month later), Strategic Management Committee:

- Decides on collective, strategic actions for pivotal positions and for applicant pool employees
- Decides on recommendations to make to supervisors regarding individual development plans for selected pivotal managers and applicant pool employees

# Strategy Implementation and Follow Up

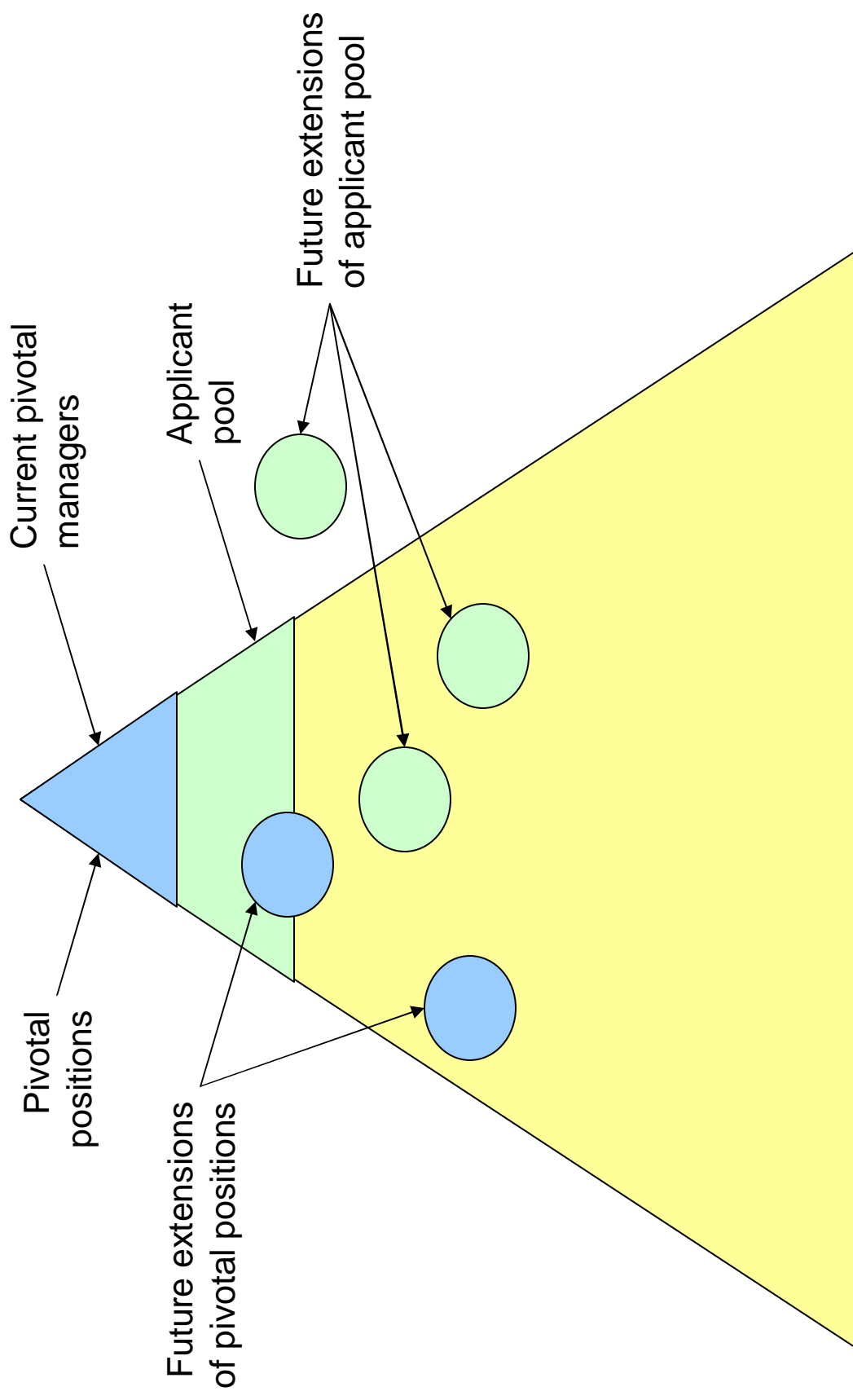
To implement strategies, Talent Management Strategist:

- Implements agreed-upon actions
- Communicates to appropriate parties
- Follows up to track progress

To follow up, Strategic Management Committee meets mid-cycle and:

- Reviews successes and shortfalls
- Discusses surprises
- Decides on necessary course corrections

# The Positions and the Players



# Leadership Profile

## Leadership Profile

### Section A: Identifying and General Information (to be completed by the employee)

Name \_\_\_\_\_ Classification \_\_\_\_\_  
Working Title \_\_\_\_\_ Work Unit \_\_\_\_\_  
Position Number \_\_\_\_\_ Retirement Eligibility Date \_\_\_\_\_  
Years in Position \_\_\_\_\_

### Section B: Background, Plans, and Interests (to be completed by the employee and supervisor)

- 1. Background:** Summarize organizational areas and types of positions held both within and outside of DOT  
\_\_\_\_\_
- 2. Interest and Ambition:** Consider future plans with DOT  
☐ Interested in advancement  
☐ Not interested in advancement  
**Comments:** \_\_\_\_\_
- 3. Willingness to Relocate:** Indicate limitations on counties or business units  
☐ Statewide – no limits on relocation  
☐ Limited – Not interested in some counties or business locations  
☐ No – Not interested in relocation  
**Comments:** \_\_\_\_\_
- 4. Retirement Plans:** Describe current retirement plans being as specific as possible  
\_\_\_\_\_

### Section C: Competency, Performance and Experience: to be completed by the supervisor

- 1. Leadership Competencies:** Use information from Section C of the NCDOT Performance Dashboard and Appraisal  
\_\_\_\_\_

# Work Experience Checklist

## Work Experience Checklist

When asked to identify the important factors that contributed to their current success, leaders almost always identify a series of experiences – challenges they had to handle, opportunities they seized, and a variety of other events that forced them out of the day-to-day routines of the positions they occupied at the time. An important element of leadership development is the accumulation of experiences relevant to the leadership roles at NCDOT and the ability to learn from these experiences and to grow as a result of facing the challenges.

Please check the experiences on the following list that you have faced so far in your career.

### Experiences that result from dealing with various business challenges:

<input type="checkbox"/>	1.	Developed and implemented a plan to cut costs or reduce scope.
<input type="checkbox"/>	2.	Implemented a process/system change.
<input type="checkbox"/>	3.	Planned and implemented a change involving more than one business unit.
<input type="checkbox"/>	4.	Reorganized a unit to improve efficiency (including "right-sizing").
<input type="checkbox"/>	5.	Trained other employees in how to identify and implement process or system changes.
<input type="checkbox"/>	6.	Improved the performance of an underachieving unit.
<input type="checkbox"/>	7.	Effectively handled conflict.
<input type="checkbox"/>	8.	Turned around an employee conduct or behavior problem.
<input type="checkbox"/>	9.	Created a unit to address a new or modified organizational function.
<input type="checkbox"/>	10.	Starting a function or key process from scratch.

### Experiences in different roles, functions, and divisions that help develop a broader business perspective:

<input type="checkbox"/>	11.	Built a new management team.
<input type="checkbox"/>	12.	Led a large complex project outside of my area of expertise.
<input type="checkbox"/>	13.	Wrote or developed a strategic plan. Reported and tracked results.
<input type="checkbox"/>	14.	Completed and tracked a business plan.

# Leadership Thermometer

[illegible]

**Note: Only three of nine competencies used for illustrative purposes. Some identifying information is left off.**

# Emerging Talent Profile

## Emerging Talent Profile

### Section A: Identifying Information (to be completed by the applicant pool employee)

Name \_\_\_\_\_ Classification \_\_\_\_\_  
Working Title \_\_\_\_\_ Work Unit \_\_\_\_\_  
Years in Position \_\_\_\_\_

### Section B: Background, Plans, and Interests: to be completed by the supervisor and applicant pool employee

1. **Background:** Summarize organizational areas and types of positions held both within and outside of DOT
2. **Interest and Ambition:** Consider future plans with DOT  
☐ Interested in advancement  
☐ Not interested in advancement

#### Comments:

3. **Willingness to Relocate:** Indicate limitations on counties or business units

- ☐ Statewide – no limits on relocation  
☐ Limited – Not interested in some counties or business locations  
☐ No – Not interested in relocation

#### Comments:

### Section C: Competency, Performance, Experience, and Leadership Potential: to be completed by the applicant pool employee's supervisor

1. **Competency:** Use information from Section C of the NCDOT Performance Dashboard and Appraisal  
☐ Role model on majority of competencies and Does well on others  
☐ Does well on all competencies



# Leadership Potential Diagnostic

- LPD is a questionnaire that may be used ...
  - By employees to help them determine their level of interest and temperamental suitability for leadership roles
  - By supervisors and employees as input to career planning discussion
  - In leadership planning process as input in estimating employees' leadership potential
- LPD items focus on:
  - Problem solving
  - Being proactive
  - Quick learning, intellectual curiosity
  - Influencing, directing others
  - Enjoyment of challenge, being in charge

# Leadership Potential Diagnostic

## Leadership Potential Diagnostic (rev 2.1)

Instructions: On each row of the following table, select the one choice out of the three that would have best described you **early in your career**. Remember, select only **one** of the three choices on each row.



1.	<input type="checkbox"/> I eagerly attack problems, sometimes even searching them out.	<input type="checkbox"/> I deal with problems when necessary.	<input type="checkbox"/> I avoid confronting problems whenever possible.
2.	<input type="checkbox"/> I take a systematic approach to try to uncover the root cause of a problem.	<input type="checkbox"/> I try to get beyond symptoms but don't follow any logical process for identifying root cause.	<input type="checkbox"/> I handle problems by dealing with the symptoms and getting on with business.
3.	<input type="checkbox"/> I am quite good at resolving many different types of complex problems.	<input type="checkbox"/> I can handle complex problems, but often struggle and take a little longer than most people to come up with solutions.	<input type="checkbox"/> I am quite good at handling routine problems effectively but have difficulty when dealing with complex issues.
4.	<input type="checkbox"/> I like to get others who are familiar with the problem situation involved so that we can energetically attack the problem.	<input type="checkbox"/> I involve others in problem solving when it's necessary.	<input type="checkbox"/> I prefer to take on problems alone, without getting others involved.
5.	<input type="checkbox"/> I quickly figure out how to handle new or ambiguous	<input type="checkbox"/> I take a little time to get my arms around unfamiliar or	<input type="checkbox"/> I handle familiar and highly structured situations well, but I

# Leadership Potential Diagnostic

- LPD must first be validated to ensure any decisions influenced by it are based on valid information
- Validation procedure
  - Questionnaire given to 2 groups who complete it *retrospectively* – as they would have responded early in their careers
    - ◊ Group 1 – top 42 DOT managers
    - ◊ Group 2 – Transportation Engineers and other non-managerial classes matched to Group 1 on hire date / age
  - Results analyzed, questionnaire revised to emphasize items 2 groups responded differently to
  - Provide guidelines for use of LPD and implement as part of leadership planning process

# Emerging Talent Readiness Barometer

Emerging Talent Readiness Barometer

Employee Name	Applicant Pool	Elements of Readiness					Readiness Status	Comments
		Interest and Ambition	Willing to Relocate	Competency	Performance	Experience	Leadership Potential	
Elijah Engineer	Leadership	Interested	Statewide	Role model	Exceeds	Highly Experienced	High	Ready now
Sarah Supervisor	Leadership	Interested	Limited	Does well	Meets	Experienced	Medium	Ready w/in 1 Year
Marvin Manager	Leadership	Not interested	No	Needs work	Does not meet	Inexperienced	Low	Not a candidate

Note: some identifying information left off for presentation purposes

# Key Position Risk Analysis

## Key Position Risk Analysis

# Next Steps

- Transition to HR & TMS
- Write Policy to include:
  - Merit-based hiring considerations
  - Confidentiality issues
  - Public records issues
- Conduct validation study for LPD